

**Notice of Allowability**

Application No.

09/651,301

Applicant(s)

FRIESEN ET AL.

Examiner

JAGDISH PATEL

Art Unit

3624

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 7/21/05.
2. ☒ The allowed claim(s) is/are 22, 35-52, 54-104.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |   |   |
|---|---|
| 1. <input type="checkbox"/> Notice of References Cited (PTO-892)  | 5. <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)           |
| 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 6. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date _____ |
| 3. <input checked="" type="checkbox"/> Information Disclosure Statements (PTO-1449 or PTO/SB/08),<br>Paper No./Mail Date <u>4/26/01</u> | 7. <input type="checkbox"/> Examiner's Amendment/Comment                              |
| 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material                              | 8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance  |
|   | 9. <input type="checkbox"/> Other _____   |

**DETAILED ACTION**

1. This communication is in response to amendment filed 7/21/2005

***Response to Amendment***

2. Claims 22 and 35-52, and 54-104 are pending and have been allowed.

***Reasons for Allowance***

3. The following is an examiner's statement of reasons for allowance:

The claimed inventions pertain to displaying information regarding the trading of a plurality of goods.

4. The following prior art references have been deemed most relevant to the allowed claim(s):

William Wright (Research Report Information Animation Applications in the Capital Markets, IEEE 1995). Wright discloses a computer-based method for displaying information regarding the trading of plurality of goods (abstract). Wright teaches the steps of displaying a plurality of book axes..(each equity's book); displaying a value axis (see baseline), displaying indicators representing order. Wherein the indicators are displayed in locations along the book axes corresponding to the value axis (see p. 22 section 6 "Equity Trading Analytics", Figure 2 "3D extension of Figure 1")

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Nevo et al. (US 5,946,666) teaches a method for displaying transactional information relating to the trading of at least two products electronically, comprising Generating a value axis wherein values along the axis represent values associated with the at least two products (see Fig. 5, value axis is shown on the right hand vertical column(s), refer to col. 13 L 13-25 for explanation) and displaying indicators representing orders for at least two products relative to the value axis (see col. 13 L 13-25 for explanation..ask and bid prices).

5. The Wright and Nevo references as discussed above as the Closest Prior art of record fails to teach or suggest a method for displaying information regarding:

Claims 22, 35-52, 54-68, and 103 : trading of a plurality of goods comprising the following feature deemed novel:

Displaying a plurality of book axes on a screen associated with a computing device, each book axis representing a book for a corresponding one of the plurality of goods, each book comprised of a plurality of orders including at least one bid order and at least one sell order for the corresponding goods and displaying a value axis in relation to the plurality of book axes on the screen, the value axis having units of value common to the plurality of order.

Claims 69-102, 104: market information relating to electronic trading of products comprising the following feature deemed novel:

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Generating a common value axis comprising units of value associated with the first and second products being traded on an electronic trading system, with a current highest bid price and a current lowest bid price bid price and displaying a first indicator associated with the current highest bid price for the first product in relation to a first value level on the common value axis, displaying a second indicator associated with the current lowest ask price for the first product in relation to a second value level on the common value axis, displaying a third indicator associated with the current highest bid price for the second product in relation to a first value level on the common value axis, displaying a fourth indicator associated with the current lowest ask price for the second product in relation to a second value level on the common value axis.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

#### ***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to JAGDISH PATEL whose telephone number is (571) 272-6748. The examiner can normally be reached on 800AM-600PM M-Th.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached on (571)272-6747. The fax phone number for the organization where this application or proceeding is assigned is 517-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



Jagdish N. Patel

(Primary Examiner, AU 3624)

09/26/2005